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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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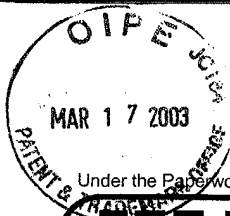
<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application	09/618,178	
	Filing Date	18 July 2000	
	First Named	LINCOLN, Stephen E.	
	Group Art Unit	1655	
	Examiner Name	FREDMAN, Jeffrey N.	
Total Number of Pages in This Submission		Attorney Docket Number	13151-2

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
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<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	J. David Ellett, Jr.
Signature	
Date	11 March 2003

CERTIFICATE OF MAILING		
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date: 11 March 2003		
Typed or printed name	J. David Ellett, Jr.	
Signature		Date
		11 March 2003

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PTO/SB/17 (1-03)  
Approved for use through 04/30/2003. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) \$180.00

## Complete if Known

Application Number 09/618,178  
Filing Date 18 July 2000  
First Named Inventor LINCOLN, Stephen E.  
Examiner Name FREDMAN, Jeffrey N.  
Group Art Unit 1655  
Attorney Docket No. 13151-2

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## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number 11-0171

Deposit Account Name Kalow & Springut LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	2001	750	375	Utility filing fee	
1002	2002	330	165	Design filing	
1003	2003	520	260	Plant filing fee	
1004	2004	750	375	Reissue filing	
1005	2005	160	80	Provisional filing fee	
SUBTOTAL (1)					(\$)

### 2. EXTRA CLAIM FEES FOR UTILITY AND

Extra Claims	Fee from below	Fee Paid
Total Claims -20** = 0	X	0.00
Independent Claims -3** = 0	X	0.00
Multiple Dependent		

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description
1202	2202	18	9	Claims in excess of 20
1201	2201	84	42	Independent claims in excess of 3
1203	2203	280	140	Multiple dependent claim, if not paid
1204	2204	84	42	** Reissue independent claims over original patent
1205	2205	18	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) \$0.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	2051	130	65	Surcharge - late filing fee or oath	
1052	2052	50	25	Surcharge - late provisional filing fee or cover sheet	
1053	1053	130	130	Non - English specification	
1812	1812	2,520	2,520	For filing a request for ex parte reexamination	
1804	1804	920*	920*	Requesting publication of SIR prior to Examiner action	
1805	1805	1,840*	1,840*	Requesting publication of SIR after Examiner action	
1251	2251	110	55	Extension for reply within first month	
1252	2252	410	205	Extension for reply within second month	
1253	2253	930	465	Extension for reply within third month	
1254	2254	1,450	725	Extension for reply within fourth month	
1255	2255	1,970	985	Extension for reply within fifth month	
1401	2401	320	160	Notice of Appeal	
1402	2402	320	160	Filing a brief in support of an appeal	
1403	2403	280	140	Request for oral hearing	
1451	1451	1,510	1,510	Petition to institute a public use proceeding	
1452	2452	110	55	Petition to revive - unavoidable	
1453	2453	1,300	650	Petition to revive - unintentional	
1501	2501	1,300	650	Utility issue fee (or reissue)	
1502	2502	470	235	Design issue fee	
1503	2503	630	315	Plant issue fee	
1460	1460	130	130	Petitions to the Commissioner	
1807	1807	50	50	Processing fee under 37 CFR § 1.17(q)	
1806	1806	180	180	Submission of Information Disclosure Statement	180.00
8021	8021	40	40	Recording each patent assignment per property (times number of properties)	
1809	2809	750	375	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	2810	750	375	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	2801	750	375	Request for Continued Examination (RCE)	
1802	1802	900	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) \$180.00

## SUBMITTED BY

Name (Print/Type) J. David Ellett, Jr.

Signature

Registration No. (Attorney/Agent)

27,875

## Complete (if applicable)

Telephone

(212) 813-1600

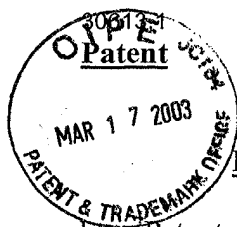
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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

Applicants: LINCOLN, Stephen E. and  
KNAPP, Michael R.

Examiner: FREDMAN, Jeffrey N.

Serial No.: 09/618,178

Art Unit: 1655

Filed : 18 July 2000

Title : Automatic Genotype Determination

Kalow & Springut LLP  
488 Madison Avenue, 19<sup>th</sup> Floor  
New York, New York 10022

11 March 2003

Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR 1.97(c)**

SIR or MADAM:

Pursuant to 37 CFR 1.97 (c), the attorneys for the applicants hereby bring to the attention of the Patent and Trademark Office the following publications broadly related to the field of the invention of the application identified above:

**Other Documents**

Dempster, A.P.; Laird, N.M.; and Rubin, D.B. *J. Roy. Statist. Soc.*, volume B39, pages 1-38 (1977);

Little, R.J.A. and Rubin, D.B., *Statistical Analysis with Missing Data* (John Wiley & Sons, 1987) Pages 3-20, 79-96, and 127-141.

03/20/2003 HLE333 00000046 09618178

01 FC:1806

180.00 OP

Applicants : LINCOLN, Stephen E. and KNAPP, Michael R.  
Serial No.: 09/618,178  
Filed : 18 July 2000  
Page 2

The items listed above are identified on Form PTO/SB/08 which is submitted with this statement. A copy of each of the items identified above is submitted with this statement.

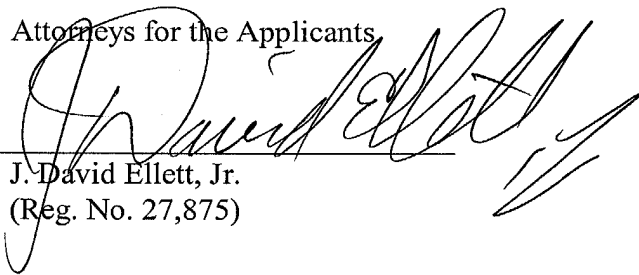
The attorneys for the applicants take no position on whether or not any item cited above and listed on Form PTO/SB/08 constitutes prior art against the subject application under any particular provision of Title 35 of the United States Code.

Pursuant to 37 CFR 1.97(c) and 1.17(p), the official fee for submission of an information disclosure statement at this time is estimated to be one hundred eighty dollars (\$180.00). A check in the estimated amount is submitted with this statement in payment for the required official fee. Please charge any deficiency in the payment submitted for the required fee, or credit any overpayment, to deposit account No. 11-0171.

Respectfully submitted,

Attorneys for the Applicants

By

  
J. David Ellett, Jr.  
(Reg. No. 27,875)

Telephone: (212) 813-1600

MAR 17 2003

PTO/SB/08B (10-01)

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 1

**Complete if Known**

Application Number	09/618,178
Filing Date	18 July 2000
First Named Inventor	LINCOLN, Stephen F.
Group Art Unit	1655
Examiner Name	FREDMAN, Jeffrey N.
Attorney Docket Number	13151-2

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**OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		DEMPSTER, A.P.; LAIRD, N.M.; and RUBIN, D.B., Maximum Likelihood from Incomplete Data via the EM Algorithm, <i>J. Roy. Statist. Soc.</i> 1977, pages 1-38, volume B39	
		LITTLE, R.J.A. and RUBIN, D.B., <i>Statistical Analysis with Missing Data</i> , 1987, pages 3-20 79-96, and 127-141, John Wiley & Sons	

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional).<sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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